

AD \_\_\_\_\_

GRANT NUMBER DAMD17-97-1-7264

TITLE: Tumor Specific CD4+ T-Cell Costimulation Through a Novel  
Receptor/Ligand Interaction

PRINCIPAL INVESTIGATOR: Andrew D. Weinberg, Ph.D.

CONTRACTING ORGANIZATION: Earle A. Chiles Research Institute  
Portland, Oregon 97213

REPORT DATE: August 1999

TYPE OF REPORT: Annual

PREPARED FOR: U.S. Army Medical Research and Materiel Command  
Fort Detrick, Maryland 21702-5012

DISTRIBUTION STATEMENT: Approved for public release;  
distribution unlimited

The views, opinions and/or findings contained in this report are those of the author(s) and should not be construed as an official Department of the Army position, policy or decision unless so designated by other documentation.

20000316 144

# REPORT DOCUMENTATION PAGE

Form Approved  
OMB No. 0704-0188

Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Washington Headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302, and to the Office of Management and Budget, Paperwork Reduction Project (0704-0188), Washington, DC 20503.

1. AGENCY USE ONLY (Leave blank)		2. REPORT DATE August 1999	3. REPORT TYPE AND DATES COVERED Annual (1 Aug 98 - 31 Jul 99)	
4. TITLE AND SUBTITLE Tumor Specific CD4+ T-Cell Costimulation Through a Novel Receptor/Ligand Interaction			5. FUNDING NUMBERS DAMD17-97-1-7264	
6. AUTHOR(S) Weinberg, Andrew D., Ph.D.				
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) Earle A. Chiles Research Institute Portland, Oregon 97213  weingera@ohsu.edu			8. PERFORMING ORGANIZATION REPORT NUMBER	
9. SPONSORING / MONITORING AGENCY NAME(S) AND ADDRESS(ES) U.S. Army Medical Research and Materiel Command Fort Detrick, Maryland 21702-5012			10. SPONSORING / MONITORING AGENCY REPORT NUMBER	
11. SUPPLEMENTARY NOTES				
12a. DISTRIBUTION / AVAILABILITY STATEMENT Approved for public release; distribution unlimited			12b. DISTRIBUTION CODE	
13. ABSTRACT (Maximum 200 words)  CD4 <sup>+</sup> T cells specific for tumor antigens have been less well characterized than CD8 <sup>+</sup> T cells. There appears to be two main reasons for this discrepancy; 1) CD8 <sup>+</sup> T cells isolated from tumor (tumor infiltrating lymphocytes; TIL) preferentially expand in the presence of anti-CD3 and IL-2, and 2) CD4 <sup>+</sup> T cells isolated from a tumor environment appear to be defective in signaling and therefore may not have the capacity to proliferate to tumor/tumor-associated Ag. We will attempt to bypass these limitations by using a novel approach to costimulate a tumor specific CD4 <sup>+</sup> T cell memory response. Recently, we found that CD4 <sup>+</sup> T cells isolated near the tumor sites of patients with melanoma and head and neck cancer expressed the OX-40 receptor, but not cells in the periphery of these same patients. It is our hypothesis that these OX-40 <sup>+</sup> T cells were recently activated in vivo in response to tumor antigens. If a costimulatory signal could be provided to these OX-40 <sup>+</sup> T cells by the OX-40 ligand, then clonal expansion of CD4 <sup>+</sup> T cells specific tumor should occur. In this proposal, we will characterize OX-40 expression by human and mouse CD4 <sup>+</sup> T cells specific for breast cancer and attempt to expand them both in vivo and in vitro with MHCII <sup>+</sup> tumors transfected with the OX-40 ligand, in essence making the tumor an antigen presenting cell capable of priming CD4 T cell immunity.				
14. SUBJECT TERMS Breast Cancer; costimulation; OX-40; OX-40 Ligand; CD4+ T Cell; Lymphokines			15. NUMBER OF PAGES 9	
			16. PRICE CODE	
17. SECURITY CLASSIFICATION OF REPORT Unclassified	18. SECURITY CLASSIFICATION OF THIS PAGE Unclassified	19. SECURITY CLASSIFICATION OF ABSTRACT Unclassified	20. LIMITATION OF ABSTRACT Unlimited	

## FOREWORD

Opinions, interpretations, conclusions and recommendations are those of the author and are not necessarily endorsed by the U.S. Army.

\_\_\_\_ Where copyrighted material is quoted, permission has been obtained to use such material.

\_\_\_\_ Where material from documents designated for limited distribution is quoted, permission has been obtained to use the material.

\_\_\_\_ Citations of commercial organizations and trade names in this report do not constitute an official Department of Army endorsement or approval of the products or services of these organizations.

AW ✓ In conducting research using animals, the investigator(s) adhered to the "Guide for the Care and Use of Laboratory Animals," prepared by the Committee on Care and use of Laboratory Animals of the Institute of Laboratory Resources, national Research Council (NIH Publication No. 85-23, Revised 1985).

AW ✓ For the protection of human subjects, the investigator(s) adhered to policies of applicable Federal Law 45 CFR 46.

AW ✓ In conducting research utilizing recombinant DNA technology, the investigator(s) adhered to current guidelines promulgated by the National Institutes of Health.

AW ✓ In the conduct of research utilizing recombinant DNA, the investigator(s) adhered to the NIH Guidelines for Research Involving Recombinant DNA Molecules.

AW ✓ In the conduct of research involving hazardous organisms, the investigator(s) adhered to the CDC-NIH Guide for Biosafety in Microbiological and Biomedical Laboratories.

Andrew Wiley  
PI - Signature

8/30/99  
Date

## **Table of Contents:**

Page 1 - Front Cover

Page 2 - Report Document Page

Page 3 - Foreword

Page 4 - Table of Contents

Page 5 - Introduction

Page 6-7 - Body

Page 8 - Conclusion

Page 9 - Final Report

## **Introduction:**

Approximately 45,000 women will die from breast cancer in the US in the upcoming year. The death of these women will be a direct result of the inadequacy of current adjuvant therapy for women with early stage breast cancer and of systemic therapy for women with metastatic breast cancer. Clearly, there needs to be an effective novel therapy to employ at the time when standard therapy with surgery, radiotherapy and chemotherapy has failed. A novel approach is the use of immunotherapy to boost a persons immune system to specific breast cancer antigens. The immune system is designed specifically for the deployment of effector cells throughout the body for the purpose of recognizing and destroying entities that appear to be foreign or harmful to self (e.g. breast cancer cells). Therefore learning how to enhance the immunogenicity of breast cancer in patients with tumors is the goal of the proposed research.

We have focused on CD4<sup>+</sup> T cell immunity in breast cancer to help boost self-immunity to tumors. We have found in an autoimmune model that the CD4<sup>+</sup> T cells invading the target organ specifically express a cell surface protein termed OX-40 (CD134). When the OX-40<sup>+</sup> T cells were sorted from the inflamed tissue they were found to be the autoantigen reactive cells. We and others have shown that engaging the OX-40 cell surface protein causes a costimulatory event that leads to T cell proliferation and expansion. Recently, we have found that CD4<sup>+</sup> T cells isolated near the tumor sites of patients with melanoma and head and neck cancer expressed the OX-40 protein, but the peripheral lymphocytes in these patients did not express OX-40.

The focus of the work performed in this grant proposal is to examine OX-40 expression in patients with breast cancer at both the site of inflammation and in the periphery. Once we have established that there are OX-40<sup>+</sup> cells in patients with breast cancer we intend to focus on OX-40 specific therapies in order to increase the amount of tumor reactive CD4<sup>+</sup> T cells. Ultimately, increased numbers of breast cancer specific T cells should enhance immunity to tumors leading to increased tumor-free survival in these patients. The summary of the first and second years' work is presented in the "body" of this annual review.

## Body:

We have analyzed surgical samples from 6 patients with breast cancer for the expression of the OX-40 antigen expressed on CD4<sup>+</sup> T cells. In two of the patients we were able to obtain blood, lymph node and tumor to stain for OX-40 expression. In the 4 other patients we were just able to obtain blood and the tumor. One problem that we encountered is that the pathologists stage the breast cancer patients by the amount of lymph nodes that are positive for tumor, therefore it is hard to obtain lymph node samples for staining. The peripheral blood from all of the patients were negative for OX-40. In the two patients that we were able to obtain lymph nodes, the CD4<sup>+</sup> T cells were slightly positive for OX-40 expression <4%. The tumor samples were digested and the tumor infiltrating lymphocytes were dual stained for CD4 and OX-40. Two of six tumors samples were positive for OX-40 expressing CD4 T cells and in one of the samples 10% of the CD4 cells were OX-40<sup>+</sup>, while the other positive sample showed approximately 5% of the CD4 cells were OX-40<sup>+</sup>. The presence of the OX-40<sup>+</sup> cells within the surgical samples suggested that reagents designed to stimulate T cells through the OX-40 receptor would be beneficial in expanding tumor reactive T cells within breast cancer patients. To test this hypothesis we have utilized two different murine breast cancer models to assess the clinical efficacy of engaging the OX-40 receptor in vivo.

The two breast cancer models include the SM1 cell line which will form a solid tumor when injected s.c. and does not metastasize and the 4T1 tumor which forms a solid tumor when injected s.c. and does spontaneously metastasize to lung, liver, and lymph node. We have taken two basic approaches to engage the OX-40 receptor in vivo: 1) Injecting anti-OX-40 on days 3 and 7 after injecting the tumor s.c., and 2) Transfecting the tumor directly with the OX-40 ligand and injecting the tumor s.c. The transfection efficiency for the SM1 tumor was quite low and we were not able to obtain stable clones that expressed the OX-40 ligand. Therefore, we treated animals that had received SM1 tumor s.c. with anti-OX-40 on days 3 and 7 post-tumor inoculation (control animals received rat Ig). The animals were then scored for tumor-free survival for 90 days. All the control animals had to be sacrificed within 40 days of tumor inoculation, while 25% of the anti-OX-40 treated animals remained

tumor-free (N=35/group). The data for this observation was presented at the 1998 American Association of Cancer Research meeting in New Orleans (1) and has been written in journal format and submitted for publication. The tumor-free animals were rechallenged with tumor and never developed any signs of disease, suggesting that the anti-OX-40 treated animals had developed tumor-specific memory.

The 4T1 tumor was successfully transfected with the OX-40 ligand and we obtained 3 clones that express high/medium/low levels. We injected the high and medium clones into animals s.c. and compared growth of the primary tumor to the parental 4T1 line. The primary tumors from both groups grew at identical rates but the transfected tumors were not metastatic (like the parental 4T1) when we looked for tumor in lung and lymph node. We have repeated this experiment with another set of transfectants (both OX-40 ligand<sup>+/+</sup>) to make sure this was a valid observation and not just an artifact of 4T1 subcloning. The second experiment showed a difference in primary tumor growth rate between the OX-40 ligand transfected group and the vector control group. Currently, we are analyzing the metastasis in both groups compared to the parental tumor.

It was reported in the literature that an anti-human OX-40 Ab was available for staining paraffin embedded tissue samples. Therefore we have initiated a study to look at primary breast tumors and tumor infiltrated lymph nodes for OX-40 expression. We have now analyzed 44 patients with breast cancer with both anti-CD4 and anti-OX-40R antibodies. We have found that 18 primary tumors had CD4 infiltrates, 30% of which contained OX-40R<sup>+</sup> T cells. Twenty-seven of these patients had lymph nodes which contained infiltrating breast cancer cells. Of the tumor positive lymph nodes 48% were highly positive for OX-40R<sup>+</sup> T cells, while 26% were positive and 26% were negative. In the tumor-negative lymph nodes there were very few OX-40R<sup>+</sup> T cells. In the majority of specimens assayed the OX-40R<sup>+</sup> T cells were found in greatest numbers close to the site of tumor infiltration. All the tumors tested in this study were MHC class II negative, therefore we are not exactly sure why the OX-40R<sup>+</sup> T cells would be in close proximity to the tumors. We hypothesize that an antigen presenting cell (such as a dendritic cell) may be near the tumor T cell boarder and may present Ag to CD4<sup>+</sup> T cells causing upregulation of the OX-40R.

## Conclusions:

The work accomplished has shown the expression of the OX-40 antigen on CD4<sup>+</sup> T cells invading human breast cancer and in T cells within tumor draining lymph nodes. The OX-40 expression was restricted to the inflammatory site because peripheral blood lymphocytes from these patients were OX-40 negative. This prompted us to perform murine studies with reagents designed to stimulate OX-40<sup>+</sup> cells in vivo. Our initial studies using anti-OX-40 in animals with tumor or transfecting tumors with the OX-40 ligand show promise for beneficial therapeutic effects. We have now repeated our results in the second year in the mouse tumor models using both transfection and injecting anti-OX-40 in vivo. We also have initiated a 44 patient study in breast cancer to locate OX-40 positive cells within tumor sites. We found that approximately 50% of tumor positive lymph nodes expressed high levels of OX-40 and 30% of primary tumors with lymphocytic infiltrates express OX-40. The OX-40 expression appeared to be in T cells located directly adjacent to the tumor and we suspect they may be the breast cancer-specific T cells. Examination of the mouse therapeutic data in conjunction with the expression of OX-40 in human tumor specimens has prompted us to explore producing the humanized OX-40 reagents for clinical trials. In collaboration with a British biotech company we will be producing humanized antibodies and soluble OX-40L:Ig fusion proteins for potential therapies in patients with solid tumors. One of our target tumors will be breast cancer in the upcoming years.



*Bibliography:*

*Meeting Abstracts:*

1. Morris, A., Vetto, J., Funatake, C., and Weinberg, A. (1998) Breast cancer immunity in mice treated with the OX-40 ligand. American Association for Cancer Research Meeting, New Orleans, LA, Abstract# 3615, page 193.
2. Prell, R. A., Rivera, M-M, Maxwell, J., Vella, A. T., and Weinberg, A. D. (1999) Expansion of tumor reactive CD4<sup>+</sup> T cells as a potential mechanism of anti-OX-40-induced tumor immunity. American Association for Immunology Meeting, Washington DC, Abstract #247.20, page 91.

*Manuscripts:*

1. Morris, A., Vetto, J., and Weinberg, A. D. (1999) Enhancing breast cancer immunity through engagement of the OX-40 receptor in vivo. J. of General Surgical Research. Submitted.
2. Weinberg A. D., Rivera, M-M, Prell, R. A., Morris, A., Ramstad, T., Vetto, J. T., Urba, W. J., Alvord, G., Bunce, C., and Shields, J. (1999) Engagement of the OX-40 receptor in vivo enhances anti-tumor immunity. Nat. Med. Submitted

*Personnel:*

100% Rodney Prell, Ph.D. (Post-Doc)

20% Andrew Weinberg, Ph.D. (Principal Investigator)